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Report on the activities of the Office of Internal Oversight Services

Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations

Report of the Office of Internal Oversight Services on the audit of the Secretariat's structure for managing and sustaining peacekeeping operations*

"The Secretariat is yet to develop the necessary governance and accountability mechanisms to ensure effectiveness and accountability in peacekeeping operations"

Summary

Pursuant to General Assembly resolution 61/279, the Office of Internal Oversight Services (OIOS) conducted an audit of the Secretariat's structure for managing and sustaining peacekeeping operations. In his report on strengthening the capacity of the United Nations to manage and sustain peace operations (A/61/858 and Corr.1), the Secretary-General indicated the need to restructure the Department of Peacekeeping Operations and establish a separate Department of Field Support in order to strengthen the capacity of the Organization to mount and sustain peacekeeping operations in the face of their growing volume and complexity. Acting on the Secretary-General's recommendation, the General Assembly approved by resolution 61/279 the restructuring of the Department of Peacekeeping Operations and the establishment of the Department of Field Support.

* The delay in submitting the present report was due to expansion of the audit scope to include a review of the role and duties of the Deputy Secretary-General in relation to the Department of Peacekeeping Operations, the Department of Field Support, the Department of Political Affairs and the Department of Management.

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The main objective of the audit was to assess whether the organizational roles, responsibilities, reporting lines and other governance and accountability mechanisms in the Secretariat's new structure for peacekeeping were adequately defined by reviewing the roles of the heads of missions, the Department of Peacekeeping Operations, the Department of Field Support, the Department of Political Affairs, the Department of Management and other entities involved in peacekeeping.

The main findings are as follows:

- The establishment of the Department of Field Support recognized the criticality of support issues in the success of a mission and acknowledged the risk that the Department of Management and the former Office of Mission Support within the Department of Peacekeeping Operations could no longer meet the administrative support needs of peacekeeping operations owing to their growing volume and complexity. Further, the new structure would allow the Department of Peacekeeping Operations to focus on substantive peacekeeping issues. However, it is too early at this point to determine whether the new structure was operating effectively and efficiently to deliver on its mandates;

- The Secretary-General has promulgated mechanisms to provide executive direction to the Department of Peacekeeping Operations, the Department of Field Support, the Department of Political Affairs and the Department of Management. These include the Policy Committee, the Management Committee and the Management Performance Board. These mechanisms seem to allow also the Deputy Secretary-General to be fully informed of the political and military aspects of peace operations thus ensuring continuity and consistency of the leadership exercised by the Secretary-General in managing peace operations. The function of the Deputy Secretary-General was created as an integral part of the Executive Office of the Secretary-General with responsibilities delegated by the Secretary-General. Further, the Secretary-General has assigned the Deputy Secretary-General to oversee the day-to-day operations of management-related departments such as the Department of Field Support and the Department of Management as well as to be in charge of the Management Committee and the Management Performance Board. The Executive Office of the Secretary-General informed OIOS that it is in the process of formulating: (a) an operational strategy and resource requirements to enable the Deputy Secretary-General to carry out her responsibilities; and (b) a reporting mechanism from the concerned line departments to the Deputy Secretary-General;

- The Secretary-General has implemented the senior managers' compact with the Under-Secretaries-General at the Secretariat, which documents the Secretary-General's expectations and individual accountabilities of the Under-Secretaries-General. The heads of missions, who have been entrusted with significant responsibilities for programme management and mandate implementation, are not subject to this mechanism. The Secretary-General's compact needs to be developed for heads of missions to enhance their accountability. This mechanism should also be applied between heads of missions and their deputies;

- The departmental mandates of all Secretariat offices involved in peacekeeping were not updated to reflect their respective roles under the new structure for

managing and sustaining peacekeeping operations. *The Department of Peacekeeping Operations and the Department of Field Support commented that they had developed drafts of their mandates.* Also, vision and mission statements, which are valuable instruments to clarify, share and reinforce a department's fundamental purposes, major responsibilities and key commitments with staff and other stakeholders, had not been updated in the case of the Department of Peacekeeping Operations and had not been finalized in the case of the Department of Field Support;

- The integration of the Department of Peacekeeping Operations Concept of Operations and the resultant Department of Field Support Support Plan, a key activity in launching new missions, was informal and not documented. Hence, there was no assurance that this critical function was performed, and the accountabilities for the accomplishment of the plans were clear and expectations were achievable. The Under-Secretaries-General for Peacekeeping Operations and Field Support should co-sign the Department of Peacekeeping Operations Concept of Operations and the Department of Field Support Support Plan;

- One of the key features of the new structure is the introduction of the integrated operational teams, responsible for the provision of day-to-day support for all aspects of peace operations. Instruments governing the functioning and accountability of the integrated operational teams, such as the detailed responsibilities of the team members and their parent units, and the division of labour between the team members and leaders and the regional directors, have not been sufficiently covered in the terms of reference. *The Department of Peacekeeping Operations stated that it had finalized the terms of reference for all integrated operational team officers, for the directors at the Office of Operations and for staff members from other offices providing support to the teams*;

- The restructuring took place without establishing quantifiable expected benefits, especially in terms of productivity, of the various Department of Peacekeeping Operations and Department of Field Support functions. There is a need for the two Departments to establish expected accomplishments and benchmarks to measure the efficiencies and improvements resulting from the recent restructuring;

- The Department of Peacekeeping Operations made commendable strides in developing cooperation agreements among partners in peacekeeping operations, such as the African Union, the European Union, the North Atlantic Treaty Organization, the World Bank, the United Nations Development Programme, and so forth;

- The risks of duplication and a responsibility gap between the Department of Peacekeeping Operations and the Department of Political Affairs, noted in a previous OIOS audit conducted in 2006, continued to exist. For example, both the Department of Peacekeeping Operations and the Department of Political Affairs plan, launch and lead field missions. Depending on the relative significance of the mandates and life cycle of field missions, the Policy Committee of the Secretary-General assigns the lead responsibility to direct a special political mission to either the Department of Peacekeeping Operations or the Department of Political Affairs. This is called the "lead-department"

policy. However, there were no clear criteria or transparent decision-making mechanisms to determine the lead department. This presents an inherent risk of duplication and overlap between the Department of Peacekeeping Operations and the Department of Political Affairs since either can lead and manage a peace operation. The Executive Office of the Secretary-General has informed OIOS that the "lead-department" policy will be updated once the departmental mandates of the Department of Peacekeeping Operations and the Department of Political Affairs are revised. *The Department of Peacekeeping Operations welcomed the recommendation to develop clearer criteria for the "lead-department" policy, stating that the recommendation would provide more clarity as to the division of labour between the two departments. The Executive Office of the Secretary-General, the Department of Peacekeeping Operations and the Department of Political Affairs have been working closely together to revise their respective mandates.* The Department of Peacekeeping Operations, however, stated that the issue of less clarity related only to small- and medium-sized special political missions;

- The roles and accountabilities of the Department of Field Support and each mission's support component in providing support to missions are yet to be clearly defined. A service-level agreement is needed to define and delineate each of these entities' roles. It is not only a good mechanism for such purposes, but is also an effective means to enforce accountabilities by providing for a formal definition of: (a) services needed by each mission from the Department of Field Support; and (b) benchmarks to measure the performance of the Department in providing support to missions. Such definitions have not yet been defined and agreed on;

- The delegation of human resources authority by the Department of Management to Department of Field Support human resources officers at New York Headquarters was informal. This is inconsistent with the requirement of the Department of Management for formally designating and delegating mission human resources officers. Hence, although Department of Field Support officers were performing human resources functions for the missions, they did not officially have the authority for those functions. Also, the Department of Management did not regularly review and monitor whether the authorities it delegated to the Department of Field Support were properly executed;

- As regards the role of the Department of Safety and Security in providing security to peacekeeping missions, OIOS, in its previous audit of the Department, found that the nature and scope of technical supervision, policy direction and operational guidance by the Department over the Chief Security Advisers were not sufficiently clear. Since the Chief Security Advisers report both to the Designated Official, which in some cases is the head of mission, and to the Department, the lack of clarity of the Department's technical supervision over the Chief Security Advisers could cause misunderstanding and diffused accountabilities.

OIOS made a number of recommendations to address the issues discussed above. The concerned departments accepted all the recommendations.

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I. Introduction

1. Pursuant to General Assembly resolution 61/279, the Office of Internal Oversight Services (OIOS) conducted an audit of the Secretariat's structure for managing and sustaining peacekeeping operations.

2. The Secretary-General, in his report on strengthening the capacity of the United Nations to manage and sustain peace operations (A/61/858 and Corr.1), indicated the need to restructure the Department of Peacekeeping Operations. Acting on the Secretary-General's recommendation, the General Assembly, in its resolution 61/279, approved the restructuring of the Department of Peacekeeping Operations and the establishment of the Department of Field Support by separating the former Office of Mission Support of the Department of Peacekeeping Operations, effective 1 July 2007, including the creation of 119 new posts for the Department of Peacekeeping Operations and 33 for the Department of Field Support.

3. The Secretariat's structure for managing and sustaining peacekeeping operations consists of a number of United Nations departments and entities at Headquarters and in the field (see figure I), horizontally organized with various mandates and inter-departmental processes and procedures. Following are the main departments and their respective roles:

(a) **The Department of Peacekeeping Operations**: responsible for providing strategic direction, management and guidance to United Nations field operations;

(b) **The Department of Field Support**: responsible for delivering dedicated support services to United Nations field operations, the Department of Peacekeeping Operations and the Department of Political Affairs, including on personnel, finance, logistical, communications, information technology and other administrative and general management issues (see A/61/858 and Corr.1);

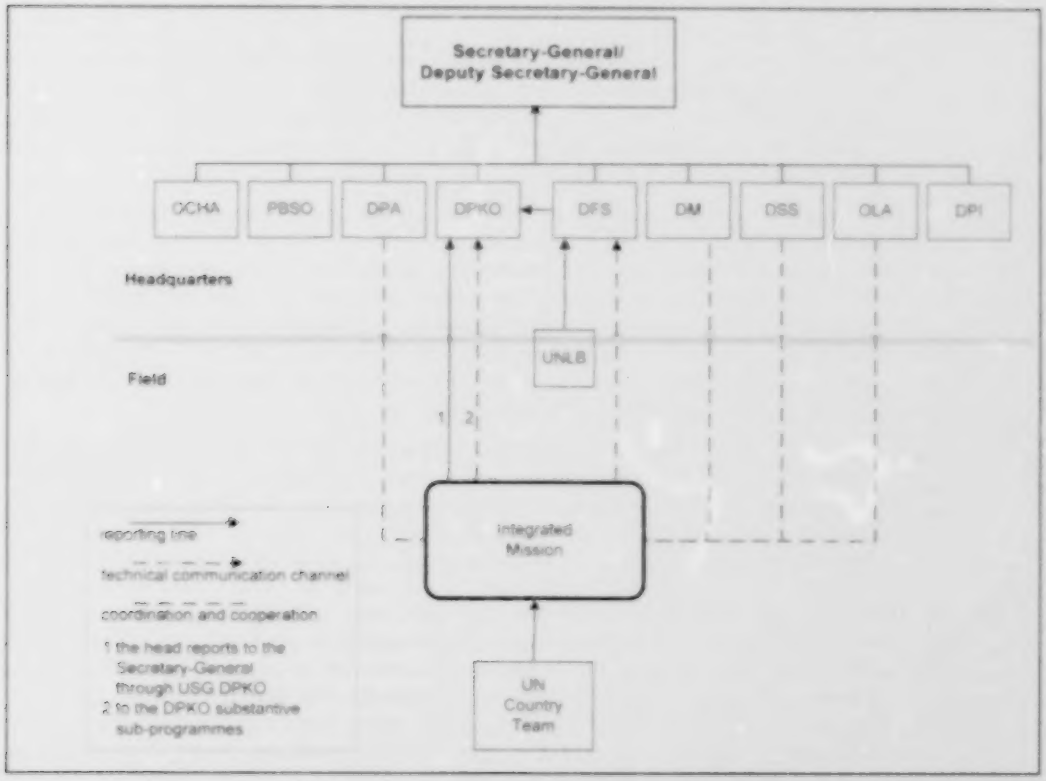
(c) **The Department of Political Affairs**: responsible for electoral assistance and most special political missions;

(d) **The Department of Management**: responsible for formulating policies and procedures and providing strategic guidance, direction and support to all entities of the Secretariat in three broad management areas, namely, finance and budget, human resources and common services (procurement and facilities management) (ibid.);

(e) **The Department of Safety and Security**: responsible for providing security support to ensure the implementation of the United Nations security management system at Headquarters and in field missions. In addition, the Department of Safety and Security would work closely with the Department of Field Support to ensure adequate security resourcing for field missions, in particular in the areas of staffing, equipment, training, security services and associated budget processes (ibid).

Figure I

United Nations departments, offices and agencies involved in the Secretariat's structure for managing and sustaining peacekeeping operations



Created by OIOS.

Abbreviations: OCHA, Office for the Coordination of Humanitarian Affairs; PBSO, Peacebuilding Support Office; DPA, Department of Political Affairs; DPKO, Department of Peacekeeping Operations; DFS, Department of Field Support; DM, Department of Management; DSS, Department of Safety and Security; OLA, Office of Legal Affairs; DPI, Department of Public Information; UNLB, United Nations Logistics Base; USG, Under-Secretary-General.

Note: The Office of Information and Communications Technology was created in December 2008 as an independent office within the Secretariat.

4. The Department of Peacekeeping Operations currently directs and controls[1] 16 peacekeeping and 2 political missions in the field. The Department of Field Support provides administrative and logistical support to 16 political missions led by the Department of Political Affairs, in addition to the 18 missions led by the Department of Peacekeeping Operations. For the financial year 1 July 2008 to 30 June 2009, the General Assembly appropriated $7.1 billion for the financing of the United Nations peacekeeping operations. The number of approved posts for the

[1] The Department of Peacekeeping Operations Policy on the Authority, Command and Control in United Nations Peacekeeping Operations, February 2008.

Department of Peacekeeping Operations and the Department of Field Support was 453 and 464, respectively, for the financial year 1 July 2008 to 30 June 2009. Approximately 90,000 uniformed military and police personnel and 22,000 civilian personnel have been deployed.

5. The heads of missions have overall authority over the activities of the United Nations in mission areas, including security and safety of mission personnel.[1] They lead and direct the heads of all mission components, and are accountable to the Secretary-General through the Under-Secretary-General for Peacekeeping Operations. Field missions are equipped with a stand-alone structure and most of them are headed by a senior official at the Under-Secretary-General level.

6. Most current peacekeeping missions are integrated, carrying out mandates in military affairs, political, humanitarian, social and economic functions. As the Department of Peacekeeping Operations does not have in-house capacity covering the full range of peacekeeping operations mandates in terms of reporting and monitoring human rights violations, protection of refugees and/or displaced persons and addressing certain development and humanitarian needs of those affected by conflicts a number of other Secretariat departments and agencies are also involved as partners both at Headquarters and in the field.

7. The main objective of the audit was to assess whether the organizational roles, responsibilities, reporting lines and other governance and accountability mechanisms in the Secretariat's new structure for managing and sustaining peacekeeping operations, including the heads of missions, the Department of Peacekeeping Operations, the Department of Field Support, the Department of Political Affairs and the Department of Management, were adequately defined. OIOS sought to obtain an understanding of the role of the Secretary-General's office in the management of peace operations, through interviews with senior officers in the Executive Office of the Secretary-General, including the Deputy Secretary-General and with the Under-Secretaries-General for Management and Field Support. The audit surveyed heads of missions to solicit their views on the restructuring. The audit also considered the relevant recommendations of the Board of Auditors, as well as previous OIOS recommendations.

II. Executive direction by the Executive Office of the Secretary-General

8. The Under-Secretaries-General for Peacekeeping Operations, Field Support, Political Affairs and Management and the heads of missions report to and are accountable to the Secretary-General, who is in turn accountable to Member States. The Secretary-General has put in place in his office certain mechanisms to provide the Secretariat departments with executive direction and oversight. The Political, Peacekeeping and Humanitarian Affairs Unit of the Executive Office of the Secretary-General assists the Secretary-General in overseeing the Department of Peacekeeping Operations and the Department of Political Affairs. The role of the Unit is to assist the Secretary-General in the areas of political, peacekeeping, disarmament, legal, humanitarian affairs and human rights in coordination with the relevant departments.

9. In addition, a number of committees and forums have been established to facilitate executive direction and allow information sharing, as shown in table 1.

Table 1
Mechanisms for executive direction

Mechanism	*Chair*	*Purpose*	*Participants*	*Expected frequency of meetings*
Policy Committee	Secretary-General	To consider issues requiring strategic guidance and policy decisions on thematic and country-specific issues affecting the United Nations	Deputy Secretary-General, Chef de Cabinet, Under-Secretaries-General for Peacekeeping, Humanitarian Affairs and Legal Affairs, Chairs of Executive Committees	Weekly
Management Committee	Deputy Secretary-General	To consider internal reform, management-related issues requiring strategic direction from the Secretary-General and recommendations by oversight bodies	Chef de Cabinet, Under Secretaries-General for Management, Field Support, Economic and Social Affairs, Peacekeeping and General Assembly and Conference Management	Monthly
Senior Management Group	Secretary-General	To raise and provide guidance on cross-cutting issues	Deputy Secretary-General and all heads of departments	Biweekly
Management Performance Board	Deputy Secretary-General	To monitor senior managers' performance by administrating their compacts with the Secretary-General	All heads of departments	Quarterly and once a year for the compact
Meeting with the political and other substantive line department heads	Secretary-General	Information-sharing	Under-Secretaries-General for Political Affairs, Peacekeeping, Humanitarian Affairs, Disarmament Affairs, Public Information, and so forth	Every Monday, Wednesday and Friday
Meeting with the management-related department heads	Deputy Secretary-General	Information-sharing	Under-Secretaries-General for Management and Field Support	Weekly
Meeting with the Under-Secretary-General for Internal Oversight	Deputy Secretary-General	Information-sharing	Under-Secretary-General for Internal Oversight Services	Weekly
Secretary-General's Executive Office of the Secretary-General meeting	Secretary-General	Executive Office of the Secretary-General management	Secretary-General, Deputy Secretary-General, Chef de Cabinet and Deputy Chef de Cabinet	Daily

10. The Deputy Secretary-General acts for the Secretary-General during his absence from Headquarters. Furthermore, owing to the large number of officials reporting to the Secretary-General, which does not allow for the maintenance of adequate and systematic managerial oversight and supervision (see A/51/950/Add.1), the Deputy Secretary-General function was created as an integral part of the Executive Office of the Secretary-General (see General Assembly resolution 52/12 B), with responsibilities delegated by the Secretary-General, including the following:

(a) To assist the Secretary-General in managing the operations of the Secretariat;

(b) To act for the Secretary-General at United Nations Headquarters in the absence of the Secretary-General and in other cases as may be decided by the Secretary-General;

(c) To support the Secretary-General in ensuring intersectoral and inter-institutional coherence of activities and programmes and to support the Secretary-General in elevating the profile and leadership of the United Nations in the economic and social spheres, including further efforts to strengthen the United Nations as a leading centre for development policy and development assistance;

(d) To represent the Secretary-General at conferences, official functions and ceremonial and other occasions as may be decided by the Secretary-General;

(e) To undertake such assignments as may be determined by the Secretary-General.

11. The Secretary-General's report of February 2009 on the strengthening of the capacity of the United Nations to manage and sustain peacekeeping operations (A/63/702 and Corr.1) has clarified that the Deputy Secretary-General is responsible for overseeing "the day-to-day operations of the management-related departments, such as the Department of Management and the Department of Field Support, which require the attention of the Secretary-General". The Deputy Secretary-General likewise oversees the newly created Office of Information and Communications Technology. In addition, the Secretary-General has assigned the Deputy Secretary-General to be in charge of the Management Committee, Management Performance Board and ad hoc task forces such as one on human resources management.

12. The Executive Office of the Secretary-General informed OIOS that it was in the process of formulating: (a) an operational strategy and resource requirements to enable the Deputy Secretary-General to carry out her responsibilities; and (b) a reporting mechanism from the concerned line departments to the Deputy Secretary-General. OIOS also notes that the mechanisms in place in the Executive Office as described in table 1 seem to allow the Deputy Secretary-General to be fully informed of the political and military aspects of peace operations thus ensuring continuity and consistency of the leadership exercised by the Secretary-General in managing peace operations.

III. Role of the heads of missions

13. The Department of Peacekeeping Operations Policy on the Authority, Command and Control in United Nations Peacekeeping Operations has improved

the answerability of heads of missions by clarifying that all mission components[2] report to the head of mission and that he or she is ultimately accountable for all aspects of a mission to the Secretary-General. In that regard, the policy addressed a long-standing ambiguity in the reporting relationship between mission components and their Department of Peacekeeping Operations and Department of Field Support counterparts by clarifying that mission components would keep a "technical communication channel" with, but not command and control from, Department of Peacekeeping Operations and Department of Field Support counterparts (see figure I). For example, the Chiefs/Directors of Mission Support, who are in charge of missions' administrative and logistics support components and in most cases report directly to the heads of missions, no longer report to the Under-Secretary-General for Field Support as they had previously done to the Assistant Secretary-General for Mission Support.

14. The policy further clarifies that while the head of mission is responsible for all mission components, the Chief/Director of Mission Support is the sole authority in the field to commit financial resources. In exercising the financial authority of the Chief/Director of Mission Support, he/she should consult with the head of mission, but the Chief/Director is personally responsible for the strict observance of and compliance with United Nations technical and administrative regulations related to the administration of the mission and logistics management. In the opinion of OIOS, this setup is a good internal control mechanism. In two missions, OIOS found an exception in the reporting line of the Chief/Director of Mission Support to the head of mission where the Chief/Director first reports to a Deputy Special Representative of the Secretary-General. In the view of OIOS, this additional reporting line may diffuse accountability over the management of mission financial resources. To mitigate such risk, the Under-Secretary-General for Peacekeeping Operations clarified, in his directives to the heads of missions, the responsibility and accountability of the Deputy Special Representatives of the Secretary-General overseeing the Chiefs/Directors of Mission Support.

Need for the Secretary-General's compacts with the heads of missions

15. Heads of missions are entrusted with significant responsibilities for programme management and mandate implementation. For instance, the budget of the United Nations Organization Mission in the Democratic Republic of the Congo (MONUC) for the financial year 2008/09 is $1.2 billion, much larger than that of the Department of Peacekeeping Operations or the Department of Field Support. However, heads of missions, unlike all Headquarters Under-Secretaries-General, are not subject to the mechanism of the Under-Secretary-General compact with the Secretary-General. In the view of OIOS, the Secretary-General's compact should be developed for the heads of missions to enhance their accountability. This compact should also apply to the African Union-United Nations Hybrid Operation in Darfur and in future missions where the United Nations is working in partnership with other external entities. OIOS notes that 30 per cent of the heads of missions surveyed were of the opinion that their accountability to the Secretary-General was not clear.

[2] A typical mission consists of military, police, political, humanitarian, and a number of substantive and mission support components.

The responsibilities of deputy heads of missions and the need for a formal mechanism to hold them accountable for their performance

16. In most integrated peacekeeping missions, two deputy heads of missions, appointed at the Assistant Secretary-General level and officially designated as the Deputy Special Representative of the Secretary-General, assist the head of mission in the exercise of his/her managerial functions. Their responsibilities vary from mission to mission, depending on the mission mandates. Typically, one of the Deputy Special Representatives of the Secretary-General oversees the political and other substantive components of the mission, and the other is the Deputy Special Representative of the Secretary-General/Resident Coordinator/Humanitarian Coordinator in charge of the humanitarian and development components.

17. Deputy Special Representatives of the Secretary-General perform significant managerial responsibilities. However, there is no formal mechanism to hold them accountable for their performance. In this regard:

(a) Not all Deputy Special Representatives of the Secretary-General, especially those overseeing the political and other substantive mission operations, have terms of reference that specify their roles and responsibilities. *The Department of Peacekeeping Operations and the Department of Field Support explained that they had systemically developed the terms of reference for the Deputy Special Representative of the Secretary-General posts for new appointments since the establishment of the Senior Leadership Appointment Section under the Department of Field Support in 2007. The Department of Peacekeeping Operations and the Department of Field Support added that they had, as part of the recent Lean Six Sigma business process improvement project on senior leadership vacancy management and succession planning, developed a guideline and template for the terms of reference of the Deputy Special Representatives of the Secretary-General, which the Executive Office of the Secretary-General and the Under-Secretaries-General for Peacekeeping Operations, Political Affairs and Field Support had approved*;

(b) There is no systematic mechanism to evaluate the performance of the Deputy Special Representatives of the Secretary-General. The Deputy Special Representatives of the Secretary-General/Resident Coordinator/Humanitarian Coordinators are subject to the United Nations Development Programme (UNDP) evaluation system. The Deputy Special Representatives of the Secretary-General overseeing the political and other substantive mission operations are not subject to any formal performance evaluation such as the Secretariat's Performance Appraisal System. On the contrary, the performance of all Headquarters Assistant Secretaries-General had been evaluated under the Performance Appraisal System, which is planned to be replaced in 2009 by the compacts between the Assistant Secretaries-General and their respective Under-Secretaries-General. In the opinion of OIOS, the practice of Headquarters Assistant Secretaries-Generals' compacts with their respective Under-Secretaries-General should also be applied between the heads of missions and their deputies.

IV. Role of the Department of Peacekeeping Operations

A. Mandate and responsibility

18. The Secretary-General promulgates mandates of the Secretariat departments by issuing bulletins (ST/SGB) on the functions and organization of each department. The promulgation of departmental mandates is the first step to ensure accountability of the respective Secretariat departments involved in peacekeeping operations. This is also necessary in order to inform the internal and external stakeholders of what each department is responsible for. However, the Secretary-General's bulletin on the Department of Peacekeeping Operations (ST/SGB/2000/9) has not been updated since 2000 despite significant changes, including the 2007 restructuring of the Department. *The Department of Peacekeeping Operations and the Department of Field Support commented that they had developed drafts of their bulletins and that the only issue that remained pending before the bulletins were finalized was the issue on the lead responsibility for medium-sized complex special political missions, for example, the United Nations Assistance Mission for Iraq (led by the Department of Political Affairs), the United Nations Assistance Mission in Afghanistan (led by the Department of Peacekeeping Operations) and the United Nations Mission in Nepal (led by the Department of Political Affairs).*

19. The single most important responsibility of the Department of Peacekeeping Operations is to plan and launch peacekeeping missions pursuant to the relevant Security Council decision. The Department of Peacekeeping Operations, together with the Department of Field Support, is accountable for the successful setup and start-up of missions until they are reasonably established. The current Secretary-General's bulletin on the Department of Peacekeeping Operations (ST/SGB/2000/9), however, is not clear on the Department's accountability in that regard. OIOS learned that its upcoming departmental mandate would clarify and incorporate its accountability for planning and launching peacekeeping missions.

20. To further enhance accountability over the launching of new missions and to ensure that expectations are clear and achievable, OIOS is of the view that the Under-Secretaries-General of the Department of Peacekeeping Operations and the Department of Field Support should co-sign the Department of Peacekeeping Operations Concept of Operations and the Department of Field Support Support Plan. One of the key activities in launching new missions is the integration of the Department of Peacekeeping Operations Concept of Operations and the resultant Department of Field Support Support Plan. The aim of this activity is for the Office of Military Affairs and other Department of Peacekeeping Operations programmes to give assurance that the Department of Field Support Support Plan is adequate to support the Department of Peacekeeping Operations Concept of Operations and for the Department of Field Support to give assurance that the Department of Peacekeeping Operations Concept of Operations is achievable within Department of Field Support capacity, for example, human and logistical resources to support a new mission. However, this integration in launching new missions is currently informal and not documented.

21. Vision and mission statements are valuable instruments that the Department of Peacekeeping Operations and the Department of Field Support could use to clarify, share and reinforce its fundamental purposes, major responsibilities and key commitments with staff and other stakeholders. The Department of Field Support has, in consultation with missions, undertaken the process of developing its vision and mission statements as part of the Department's support strategy. The vision and

mission statements of the Department of Peacekeeping Operations, on the other hand, had not been updated since the August 2007 restructuring.

B. Integrated operational teams of the Office of Operations

22. One of the key features of the new structure is the introduction of the integrated operational teams, responsible for the provision of day-to-day support for all aspects of peace operations (see figure II). Five of the seven teams have been launched as of November 2008. However, instruments governing the functioning and accountability of the integrated operational teams, such as the detailed responsibilities of the team members and their parent units, and the division of labour between the team members and leaders and the regional directors, were not sufficiently covered in the existing terms of reference. The Department of Peacekeeping Operations indicated that the individual terms of reference for integrated operational team officers were expected to be completed by February 2009. *In response to a draft of the present report, the Department of Peacekeeping Operations stated that it had, in conjunction with the Department of Field Support, finalized the terms of reference for all integrated operational team officers, for the Directors of the Office of Operations and for all officers of the Office of the Rules of Law and Security Institutions and the Policy, Evaluation and Training Division providing support to the integrated operational teams, in line with the division of labour between teams and specialist functional areas.* OIOS will review the functioning of integrated operational teams in a separate audit planned for later in 2009.

C. Structure of the monitoring function

23. In its previous audit (A/61/743), OIOS recommended that the Department of Peacekeeping Operations needed to enhance the structure within the Office of the Under-Secretary-General for Peacekeeping Operations to ensure that the Department's subprogrammes and the Department as a whole are accomplishing their goals. Towards this end, the Department has formally assigned the Chief of Staff of the Office of the Under-Secretary-General to lead the development of performance indicators of Department of Peacekeeping Operations subprogrammes and to monitor their achievement.[3]

D. Progress in the restructuring

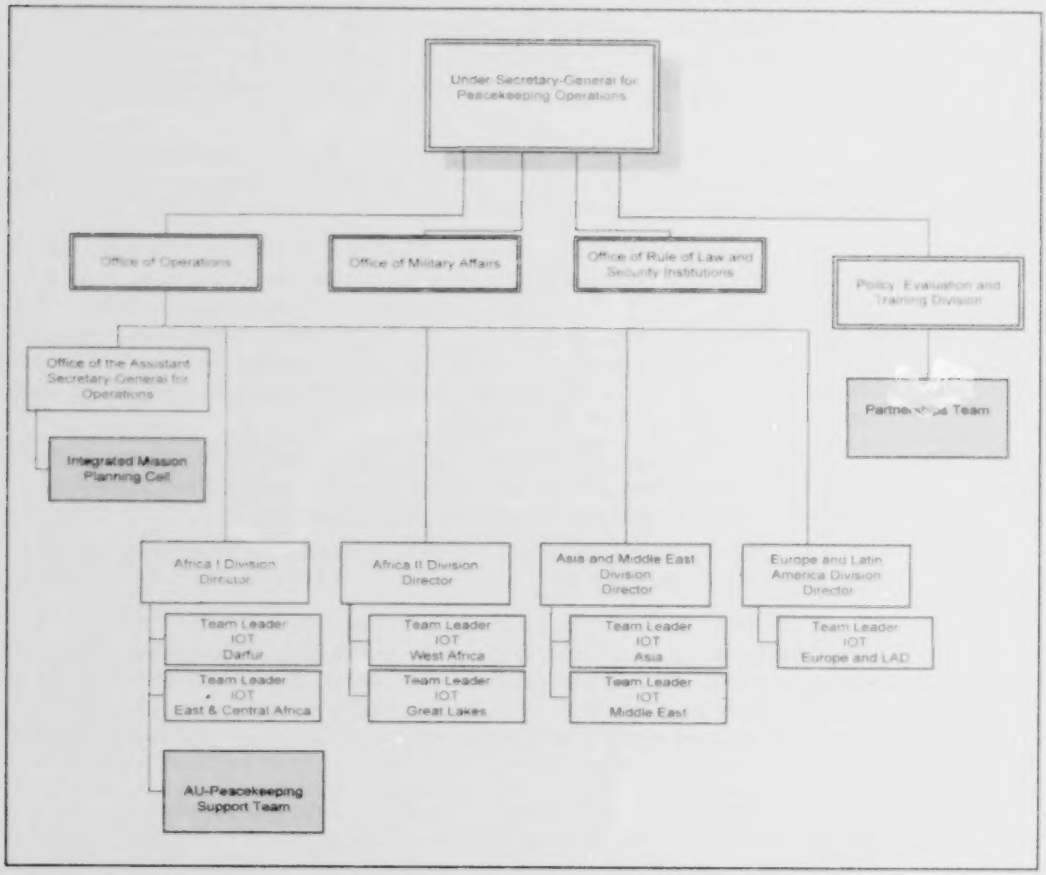
24. OIOS could not determine whether and to what extent the restructuring has been successful and beneficial because the restructuring took place without establishing quantifiable expected benefits, especially in terms of efficiency and productivity, of the various Department of Peacekeeping Operations and Department of Field Support functions. For example, the former Personnel Management and Support Service, before it was upgraded to a division under the new structure, had processed 120,000 of 260,000 (or 46 per cent) applications received in 2007. The restructuring design did not indicate by how much the Field Personnel Division should increase its productivity. The establishment of quantified benchmarks would

[3] Draft Secretary-General's bulletin on the organization of the Department of Peacekeeping Operations, para. 4.5 (c).

facilitate the self-evaluation of Department of Peacekeeping Operations and Department of Field Support efficiencies and other improvements. It could also facilitate more effective reporting by the two departments to, and monitoring by, the Secretary-General and the legislative bodies. For example, the General Assembly, by resolution 61/279, requested the Secretary-General to submit a comprehensive report on the efficiency and effectiveness of the new structure.

Figure II

Department of Peacekeeping Operations programmes and integrated operational teams: organization chart


Under-Secretary-General for Peacekeeping Operations
Office of Operations
Office of Military Affairs
Office of Rule of Law and Security Institutions
Policy, Evaluation and Training Division
Office of the Assistant Secretary-General for Operations
Integrated Mission Planning Cell
Partnership Team
Africa I Division Director
Africa II Division Director
Asia and Middle East Division Director
Europe and Latin America Division Director
Team Leader IOT Darfur
Team Leader IOT East & Central Africa
Team Leader IOT West Africa
Team Leader IOT Great Lakes
Team Leader IOT Asia
Team Leader IOT Middle East
Team Leader IOT Europe and LAD
AU-Peacekeeping Support Team

Created by OIOS. Shaded boxes represent units involved in coordination and cooperation with peacekeeping partners.

Abbreviations: IOT, Integrated Operational Team; LAD, Latin America Division; AU, African Union.

25. The Department of Peacekeeping Operations and the Department of Field Support have developed a comprehensive restructuring workplan, called the "road map", containing specific action items to implement the new structure. The Department of Peacekeeping Operations and the Department of Field Support, in

coordination with the Department of Management, also launched a comprehensive project to improve business processes and introduced the human resources action plan, whereby each department committed to meeting standard objectives and measurable targets in line with the Organization's legislative mandates and key priorities in human resources management. Most action items have been completed or are progressing as planned.

E. Integration of efforts between the Department of Peacekeeping Operations and the Department of Field Support

26. The Secretary-General has established the following measures to mitigate the risk of not being able to systematically integrate efforts between the two Departments under the new structure in delivering the necessary support services to missions:

(a) The creation of a unique reporting structure between the Under-Secretaries-General for Peacekeeping Operations and Field Support, where the latter reports to and takes direction from the former;

(b) The creation of a Department of Peacekeeping Operations/Department of Field Support Senior Management Team that enables senior managers from both Departments to come together weekly for information-sharing and to make major strategic decisions. The Department of Peacekeeping Operations and the Department of Field Support also established the Expanded Senior Management Team that meets weekly to address policy issues, and the directors' meeting, held three times a week to address operational issues;

(c) The assignment of responsibility for the monitoring of integrated efforts and common programme management to the Chief of Staff, Office of the Under-Secretary-General, Department of Peacekeeping Operations;

(d) The creation of integrated operational teams that combine various work units of the two Departments.

27. OIOS found the first three measures to be generally effective. Although OIOS acknowledges that it is too early, at this point, to assess the effectiveness of the new structure in providing support services to missions, it nonetheless conducted a survey of heads of missions[4] to elicit their preliminary views on the new structure and how it affected the support services they were receiving. The survey showed that:

(a) Only 3 of the 11 heads of missions indicated satisfaction with the effectiveness of the integrated operational teams responsible for their missions. OIOS plans to review the issue of the integrated operational teams in a separate audit;

[4] Eighteen heads of missions were surveyed, comprising: 13 missions led by the Department of Peacekeeping Operations and 5 by the Department of Political Affairs. There were questions that were not applicable to the Department of Political Affairs, hence, the population varied in view of a few of these questions.

(b) The majority[5] stated that there had been no major incidents that negatively affected the integrated efforts between the Department of Peacekeeping Operations and the Department of Field Support;

(c) Six of the 13 heads of missions indicated that the integrated efforts between the two Departments could still be undermined. One head of mission explained that mitigating such risk is highly dependent on the coordination between the Under-Secretaries-General of the two Departments.

28. In the view of OIOS, the full implementation of the new role of the Department of Field Support as a pure service provider would enhance the integration of the two Departments since providing support services requested by the missions and the Department of Peacekeeping Operations is the raison d'etre of the Department of Field Support. The implementation of service-level agreements, as discussed in part VI of the present report, would be a key mechanism in this regard.

F. Coordination and cooperation with partners

Cooperation frameworks with partners

29. The Department of Peacekeeping Operations has made commendable strides in developing cooperation agreements with partners, which had been assigned to the Partnerships Team of the Policy, Evaluation and Training Division. The Team identified 24 United Nations and non-United Nations partners and had finalized formal cooperation agreements with 12 of them.

30. Endorsed by the Security Council in its resolution 1809 (2008), the African Union Unit under the Office of Operations is established to build the African Union's capacity to conduct peace operations over a 10-year period from 2006 to 2016. The Unit and the African Union have jointly developed an action plan. The action plan, however, does not have periodic performance targets that allow for the interim monitoring of progress and the successful completion and implementation of the programme.

31. Although the "Peace Operations 2010"[6] strategy intended to establish only one point of contact for its partners, the Department of Peacekeeping Operations was of the opinion that the best way to serve their partners is to divide the responsibilities between the Office of Operations and the Partnerships Team (see Figure II above). Accordingly, the Office of Operations was assigned to serve as the primary point of contact on day-to-day peace operations related to the specific missions and to support capacity development efforts of the African Union in the areas of mission planning, deployment and management including logistic and resource planning. The Partnerships Team is responsible for developing and maintaining strategic partnerships at the institutional level, namely, institutional frameworks for cooperation. In the view of OIOS, this setup, if properly executed, would be adequate.

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[5] Nine heads of missions responded that there have been no major incidents. The rest of the heads of missions reported minor incidents related to long-term policy matters.

[6] Reform strategy initiated by the former Under-Secretary-General for Peacekeeping Operations, setting out policies and procedures on five key areas, namely, personnel, doctrine, partnerships, resources and organization, to enable the Department to support peacekeeping.

Integrated mission planning process

32. The Department of Peacekeeping Operations has established a dedicated mission planning cell under the Office of Operations to enhance the effectiveness of and accountability for the United Nations system-wide integrated mission planning process. The key vehicle of the planning process is the integrated mission task forces, which function as the main body for planning new peacekeeping missions and for supporting multidimensional peacekeeping operations. *The Department indicated that the terms of reference of the integrated mission task forces were finalized in March 2009.*

V. Role of the Department of Political Affairs

33. Both the Department of Peacekeeping Operations and the Department of Political Affairs plan, launch and lead field missions. United Nations peacekeeping missions are often responsible for diverse peace operations such as peacebuilding, peacemaking and enforcement, not just strictly peacekeeping. Depending on the relative significance of the mandates and life cycle of field missions, the Policy Committee of the Secretary-General assigns the lead responsibility to direct a field mission to either the Department of Peacekeeping Operations or the Department of Political Affairs, which is called the "lead-department" policy. In a previous report (A/61/357), OIOS pointed out a weakness in the policy regarding special political missions, namely, that there were no clear criteria or transparent decision-making mechanisms to determine the lead department, presenting an inherent risk of duplication and overlap between the two Departments, since either can lead and manage a special political mission. *The Department of Peacekeeping Operations explained that the field missions led by that Department and the Department of Political Affairs are, in most cases, quite distinct. The roles of and division of labour between the two Departments were laid out in the Secretary-General's bulletins ST/SGB/2000/9 and ST/SGB/2000/10, respectively, and further clarified by the Secretary-General in his report entitled "Strengthening of the United Nations: an agenda for further change" (A/57/387 and Corr.1). In its report (A/61/357), OIOS considered a few exceptions related to medium-sized special political missions with a largely civilian focus, in which either the Department of Peacekeeping Operations or the Department of Political Affairs has been designated the lead by the Secretary-General, based on various political and operational considerations. When this is the case, the other department provides advisory support to the lead department through integration mechanisms, such as integrated mission task forces.* The Executive Office of the Secretary-General has informed OIOS that the "lead-department" policy will be updated once the departmental mandates of the Department of Peacekeeping Operations and the Department of Political Affairs are revised, which was to be completed by the end of 2008. As of January 2009, the revised mandates have not been issued. *The Department of Peacekeeping Operations welcomed the OIOS recommendation in its report (A/61/357) to develop clearer criteria for the "lead-department" policy, stating that the recommendation would provide more clarity as to the division of labour between the Department of Peacekeeping Operations and the Department of Political Affairs. The Department of Peacekeeping Operations added that the Executive Office of the Secretary-General, the Department of Peacekeeping Operations and the Department of Political Affairs had been working closely together to revise their respective mandates.*

34. In the same audit (ibid.), OIOS also noted that the establishment of the Peacebuilding Commission and the Peacebuilding Support Office required that all activities related to special political missions should be aligned and coordinated to ensure that duplication and overlap were minimized, resources were utilized efficiently and effective oversight and monitoring mechanisms were established. However, the mandates of the Department of Political Affairs and the Department of Peacekeeping Operations had not been updated and did not accurately reflect their current roles and responsibilities as regards the various types of peace operations. The mandate of the Department of Political Affairs as the United Nations focal point for post-conflict peacebuilding needed to reflect the creation of the Peacebuilding Support Office.

VI. Role of the Department of Field Support

35. In recommending the creation of the Department of Field Support, the Secretary-General stated that the Department needed to be empowered for programme delivery in ways that the former Office of Mission Support within the Department of Peacekeeping Operations was not. He also stated that such empowerment required additional authority to be delegated to the Department of Field Support from the Department of Management, particularly on procurement. Although the General Assembly, in resolution 61/279, approved the establishment of the Department of Field Support and adopted most of the proposals contained in the Secretary-General's report (A/61/858 and Corr.1) in this regard, it deferred its approval of the proposed transfer of the procurement function from the Department of Management to the Department of Field Support. The General Assembly indicated in resolutions 61/246 and 61/279 that it would revert to the procurement proposals following the submission by the Secretary-General of his report on procurement reform. As at 31 January 2009, the report has yet to be submitted to the General Assembly. OIOS is not commenting in the present report on the procurement aspect of the restructuring because that aspect will be covered in its comprehensive audit of procurement at the Secretariat, which is still ongoing.

36. The Department of Field Support was created to deliver dedicated support to United Nations field operations, including on personnel, finance, logistical, communications, information technology and other administrative and general management issues. The Department of Field Support would also be a provider of services to the Department of Peacekeeping Operations and the Department of Political Affairs. Since the establishment of the Department of Field Support, however, the Secretary-General has not yet promulgated the Department's mandate, specifying its functions and organization.

37. Before the restructuring, the Office of Mission Support had a dual role in regard to established missions, as a service provider and at the same time managing the missions' support operations. That situation led to difficulties in clearly delineating the responsibilities and accountabilities between the then Office of Mission Support and field missions, and posed a risk of conflict of interests in evaluating each other's effectiveness and efficiency. The new Department of Field Support structure, when fully stabilized, would provide for clear and improved accountability. Also, the creation of the Department of Field Support would allow the Department of Peacekeeping Operations to focus on substantive peacekeeping issues. Concurrently, the establishment of the Department of Field Support further recognized the criticality of support issues in the success of a mission and acknowledged the risk that the Department of Management and the former Office of

Mission Support within the Department of Peacekeeping Operations could no longer meet the administrative support needs of peacekeeping operations owing to their growing volume and complexity.

38. Currently, the peacekeeping structure consists of two dedicated entities providing support to missions, that is, each mission's support component and the Department of Field Support. However, their roles and accountabilities are not clearly defined and differentiated. In the opinion of OIOS, a service-level agreement is needed to define and delineate each of these entities' roles. A service-level agreement is not only a good mechanism for such purposes, but is also an effective means to enforce accountabilities by providing for a formal definition of (a) services needed by each mission from the Department of Field Support and (b) benchmarks to measure the performance of the Department in providing support to missions, which have not yet been defined and agreed on. Department of Field Support management has acknowledged that service-level agreements can improve the Department's accountability and professionalism and has informed OIOS that it would develop service-level agreements with each mission as an important component of its overall support strategy. *The Department of Field Support planned to implement service-level agreements for the Department's clients upon the issuance of its departmental mandates and support strategy.* Also, service-level agreements could be an effective tool in guiding any future review of the support structure for peacekeeping operations.

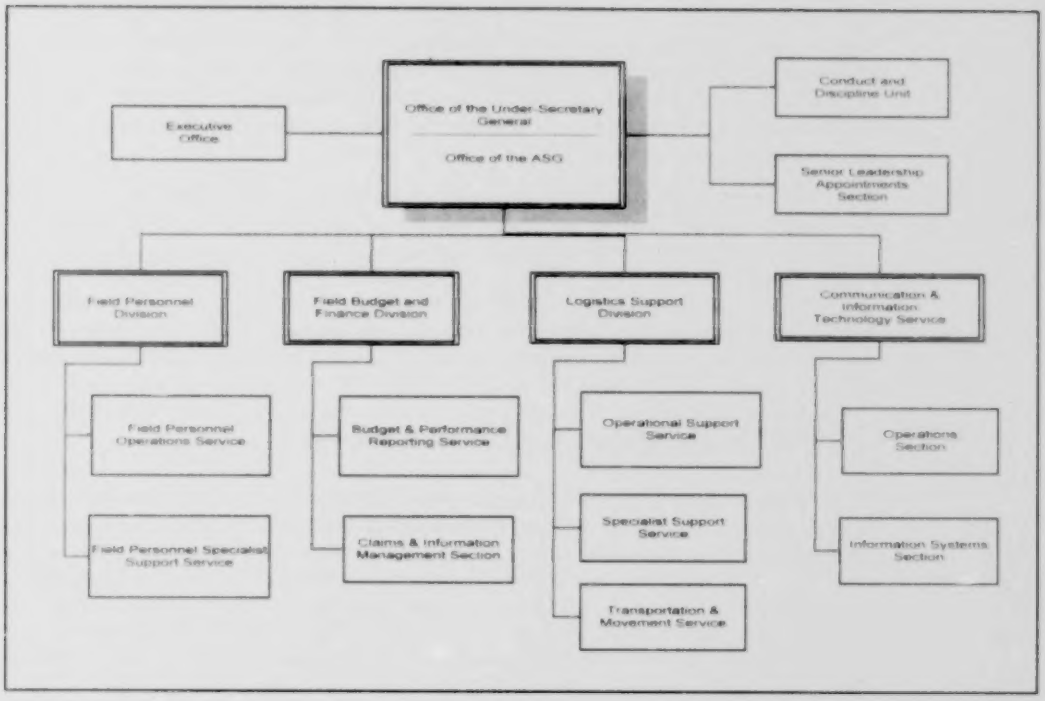
39. In addition to the two dedicated entities, the Department of Management is also involved in providing support to missions. It performs the procurement function and is responsible for managing and monitoring authorities and responsibilities in human resources and financial management that have been delegated to the Department of Field Support and field missions, as discussed in section VI of the present report.

Effectiveness and efficiency of the Department of Field Support

40. The Department of Field Support consists of four divisions: (a) the Field Personnel Division, to recruit, deploy and retain qualified mission personnel; (b) the Field Budget and Finance Division; (c) the Logistics Support Division, in charge of planning and providing engineering, aviation, transportations, fuel, food rations and other logistical requirements; and (d) the Communication and Information Technology Service (see figure III). The majority of heads of missions[7] surveyed by OIOS rated the overall support provided by the Department on logistics, finance and information and communication technology to be generally satisfactory but pointed out the need to improve the support in human resources management.

[7] The OIOS survey of the effectiveness of the Department of Field Support sought the opinions of the heads of missions led by the Department of Political Affairs and the Department of Peacekeeping Operations because the Department of Field Support provides support to both groups. The results from the two groups generally showed the same pattern.

Figure III
Department of Field Support: organization chart



Source: Department of Field Support Intranet site.

41. The Field Personnel Division faces enormous difficulties in delivering on this responsibility not only because of the dynamic peacekeeping environment but also owing to the human resources policies and operations of the Secretariat that were originally designed to support the operations at Headquarters, offices away from Headquarters and regional commissions. A great deal of efficiency is lost owing to the high number of procedural requirements, consisting of an estimated 355 personnel actions that require labour-intensive processing tasks. At the same time an integrated information system for human resources is lacking. As a result, the Field Personnel Division's day-to-day operations have been focused more on addressing these deficiencies and filling the gaps, leaving the Division without a margin of capacity to meet additional unexpected mission requests or circumstances. This situation leaves the Field Personnel Division with insufficient time to focus on strategic management, including planning ahead, establishing specific actions to achieve its targets, and managing and monitoring its performance against the established goals.

42. In addition to the above difficulties relating to and that apply to the whole of the Secretariat, the biggest challenge for the Field Personnel Division to address is the shortage of qualified mission human resources officers and the difficulties in recruiting and deploying them. This had resulted in the Division's taking on the workload of the missions. As at 30 November 2008, about 27 per cent of human resources officers posts in the Professional category in the missions were vacant.

Recognizing the human resources challenges, the Department of Field Support initiated the Senior Mission Administration and Resource Training Programme (SMART), which prepares staff for higher level appointments comprising six e-learning modules and three face-to-face workshops, and the Programme for Advanced Compendium of Trainees (PACT), which aims at recruiting, developing, and retaining a cadre of qualified external candidates for human resources officers positions in the field, training all areas of human resources functions. However, these programmes had not yet generated a sufficient number of qualified human resources officers.

43. The shortage of qualified human resources staff in the missions also hampered the further decentralization or delegation by the Department of Field Support of certain human resources functions to the missions. The Department has recently begun further decentralizing some human resources functions to missions for them to take up more authority and workload. The Department has not yet established a human resources strategy coherent with the authority delegated to the heads of missions to systematically address the shortage of qualified human resources staff.

VII. Role of the Department of Management

44. Any structure that consists of multiple departments is exposed to the risk of unclear ownership of responsibility, especially in the performance of functions that involve more than one department. With regard to peacekeeping operations, such a structure could lead to a responsibility gap or duplication between the Department of Management and the Department of Field Support. Delegation of authorities, if properly exercised and monitored, is one mechanism to share responsibilities for common functions and ensure the effective and efficient performance of functions that have been delegated. Towards that end, the Department of Management delegates specific fiduciary authorities and responsibilities in human resources, financial and procurement management to the Department of Field Support and field missions. Such delegation does not, however, relieve the initial authority holders of their responsibility for the appropriate use of such authority. On the contrary, the delegation of authority requires proper oversight and control. Hence, the Department of Management is responsible for monitoring whether the Department of Field Support is properly exercising authorities that have been delegated to it.

45. There were still unaddressed risks of duplication and a responsibility gap relating to the delegation of certain authorities, as discussed below.

A. For human resources management

46. The delegation of authority and responsibility for the recruitment and administration of mission personnel from the Assistant Secretary-General for Human Resources Management to the Department of Field Support was expanded in August 2007. The Field Personnel Division officers now have authorities for about half of the many personnel actions (172 of 355 personnel actions, per the Department's estimate) and are entrusted with performing significant human resources functions such as the handling of recruitments, promotions, entitlements[8]

[8] The report of the Secretary-General (A/61/858 and Corr.1) states that estimates for the cost of entitlements for international staff and travel of military observers and police exceed $700 million a year.

for approximately 22,000 civilian staff and 11,000 United Nations police, military observers and staff officers. Following are the weaknesses in the delegation of human resources functions:

(a) The delegation of authority was informal, which was inconsistent with the Department of Management requirement for formally designating and delegating mission human resources officers.[9] Hence, although the Field Personnel Division officers were performing human resources functions for the missions, they did not officially have authorities for those functions. The Department of Management stated that efforts to establish a formal delegation of authority, within the context of the contractual reform, are under way and that the Department is considering whether the formal delegation should be personal, such as to individual officers, or functional, that is, attached to the posts;

(b) There was a weakness in the current mechanism to ensure that all peacekeeping officers at Headquarters and in the field to whom human resources management authorities were to be delegated were qualified to execute them. OIOS, in its audit of the management of delegation of authority by the Department of Management,[10] found the need for the Department to establish a mandatory technical training and certification system for managerial appointees in human resources, financial management and procurement, as part of the requirements for delegating authorities. The Department of Field Support has developed some platforms that can be used in this regard such as the online features and contents of the SMART and PACT training programmes, which the Department of Management could use;

(c) The Department of Management did not regularly review and monitor whether the authorities it delegated to the Department of Field Support were properly executed. The Department of Management last conducted such a review of the authorities delegated to the then Personnel Management and Support Service, in 2004.

47. Moreover, an OIOS evaluation of the Office of Human Resources Management (see A/63/221) showed that most human resources officers at the Secretariat and in peacekeeping missions were of the opinion that the delegation of authority from the Office to their departments was working only "somewhat effectively". The evaluation also found the need for further clarification of roles between the human resources officers in peacekeeping missions and the Field Personnel Division and the Office of Human Resources Management as to whether peacekeeping missions and the Division have real decision-making authority without conferring with the Office or authority to process transactions only.

48. OIOS, in the above-mentioned audit and evaluation, has already made recommendations to address these weaknesses and will monitor the status of actions taken by the Department of Management in implementing the recommendations.

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[9] Secretary-General's bulletin of 13 April 2005 (ST/SGB/2005/7) on the designation of staff members performing significant functions in the management of financial, human and physical resources, and its subsequent guidelines approved by the Under-Secretary-General for Management on 14 November 2006.

[10] OIOS audit of the management of delegation of authority (AH2007/510/1).

B. For financial management and budgeting

49. A previous OIOS audit (see A/60/717) found duplication between the Accounts Division and the then Finance Management and Support Service, now the Field Budget and Finance Division in the Department of Field Support, in reviewing mission financial statements. The Department of Management and the Department of Field Support have since eliminated the duplication by consolidating the review function concerning mission financial statements under the Department of Management.

50. The audit also pointed out duplication between the Field Budget and Finance Division of the Department of Field Support and the Peacekeeping Finance Division of the Department of Management in reviewing mission budgets. The Field Budget and Finance Division initially reviewed the budgets submitted by missions, which were again reviewed by the Peacekeeping Finance Division. The Field Budget and Finance Division has, since the financial year 2007-2008, initiated the Abacus programme, which sends teams of Department of Field Support Headquarters budget officers to missions to assist and advise them on budget preparation. This programme has cut the budget-processing time between the missions and the Department of Field Support to a few days from three weeks. With Abacus, the Field Budget and Finance Division is essentially performing the role of an adviser rather than a reviewer. The continued, systematic deployment of Abacus teams could mitigate the risk of duplication between the Department of Field Support and the Department of Management and address the concerns raised by the Member States in General Assembly resolution 62/250 on the timeliness and quality of budget submissions.

VIII. Role of the Department of Safety and Security

51. In field missions, the heads of missions have the overall responsibility for the security and safety of mission personnel. However, the Department of Safety and Security is responsible for providing security support to ensure the implementation of the United Nations security management system at Headquarters and in field missions.

52. In its audit of the Department of Safety and Security (see A/63/379), OIOS recommended that the Department clarify the reporting lines of the Chief Security Adviser at offices away from Headquarters, regional commissions and other field locations, including field missions.

53. The Chief Security Adviser is the security professional appointed by the Under-Secretary-General for Safety and Security to advise the Designated Official and the Security Management Team on their security functions at the duty station. In this advisory capacity, the Chief Security Adviser reports both to the Designated Official, which in some cases is the head of mission, and to the Department of Safety and Security. The Chief Security Adviser also heads the Security and Safety Service at offices away from Headquarters and regional commissions, and in integrated missions, and is responsible for managing the Security Section of the peacekeeping/special political mission. In this operational capacity, the Chief Security Adviser reports to the Designated Official and to Department of Safety and Security.

54. The Chief Security Adviser also reports to the Department of Safety and Security because the Department is responsible for his or her technical supervision and for providing policy direction and operational guidance; however, the nature and scope of technical supervision, policy direction and operational guidance were not sufficiently clear. For example, the meaning of "technical supervision" varied depending on who interpreted the expression.

IX. Recommendations

Recommendation 1

55. The Secretary-General should extend the application of the Secretary-General's compact to the heads of missions, focusing on mandate implementation, as a mechanism to measure their performance and to ensure a clear reporting line and accountability between them and the Secretary-General. Also, the practice of Headquarters Assistant Secretaries-General compacts with their respective Under-Secretaries-General should be applied between the heads of missions and their deputies.

56. *The Executive Office of the Secretary-General agreed in principle with recommendation 1, pending the Management Performance Board's consideration, which is the mechanism that advises the Secretary-General in relation to the Senior Management Compacts. Also, the Department of Peacekeeping Operations, as the entity through which the heads of missions report to the Secretary-General, concurred with recommendation 1, but noted that: (a) its implementation would be complex and resource-intensive because the recommendation concerns over 40 Under-Secretaries-General and Assistant Secretaries-General in the field whose support staff rotate much more frequently than the leadership at the Secretariat; (b) it would require the involvement of the Department of Peacekeeping Operations, the Department of Field Support and the Department of Management; and (c) it would need to consider complex factors influencing the mandate implementation of field operations. Therefore a different approach would be required to ensure that the exercise is meaningful to the Under-Secretaries-General and Assistant Secretaries-General in the field, while also complying with organizational accountability measures and taking into consideration the resources and timelines for the implementation of the recommendation.*

Recommendation 2

57. The Secretary-General should revise the mandates of all Secretariat departments involved in peacekeeping operations, reflecting their roles in light of the recent reorganization of the peacekeeping structure and any major reorganization, to clearly define their accountabilities for managing and sustaining peacekeeping operations.

58. *The Executive Office of the Secretary-General agreed with recommendation 2 and stated that it would work with the respective departments involved in peacekeeping operations to revise their mandates in order to bring greater clarity to the division of labour and accountability lines among those departments.*

Recommendation 3

59. The Under-Secretaries-General for Peacekeeping Operations and Field Support should co-sign the Department of Peacekeeping Operations Concept of Operations and the Department of Field Support Support Plan for launching new missions to enhance integration and accountability between the two Departments.

60. *The Department of Peacekeeping Operations and the Department of Field Support accepted recommendation 3 and stated that they would provide an update on the status of implementation during the next reporting cycle.*

Recommendation 4

61. The Department of Peacekeeping Operations and the Department of Field Support should develop and circulate mission and vision statements to the staff and stakeholders.

62. *The Department of Peacekeeping Operations and the Department of Field Support accepted recommendation 4. The Department of Field Support stated that its vision and mission statements were part of its support strategy soon to be finalized.*

Recommendation 5

63. The Department of Peacekeeping Operations and the Department of Field Support should clarify the expected accomplishments for the new structure and establish benchmarks for the measurement of the efficiencies and improvements resulting from the recent restructuring.

64. *The Department of Peacekeeping Operations and the Department of Field Support accepted recommendation 5, stating that they would ensure that performance metrics were incorporated into their departmental plans.*

Recommendation 6

65. The Department of Peacekeeping Operations, in coordination with the African Union, should establish performance targets and milestones for the 10-year project to develop the African Union's capacity to conduct peacekeeping operations and a programme to monitor the targets and milestones periodically.

66. *The Department of Peacekeeping Operations accepted recommendation 6 and stated that it would provide an update on the status of implementation during the next reporting cycle.*

Recommendation 7

67. The Department of Field Support should establish service-level agreements with each head of field mission and the Under-Secretaries-General for Peacekeeping Operations and Political Affairs, defining the support services to be provided, the related performance indicators and the responsibilities of the recipients of the Department of Field Support services, namely the Department of Peacekeeping

Operations, the Department of Political Affairs and missions, to enable a structured and independent evaluation of the performance of the Department of Field Support and to enhance its accountability as a professional service provider.

68. *The Department of Field Support accepted recommendation 7, stating that it considered service-level agreements as important components of its support strategy.*

Recommendation 8

69. The Department of Field Support, in consultation with the Department of Management, should develop a programme to generate and train an adequate number of human resources officers qualified to perform human resources management functions for peacekeeping.

70. *The Department of Field Support accepted recommendation 8 and stated that it was taking a holistic approach towards the establishment of a cadre of qualified Chief Civilian Personnel Officers and human resources officers, which aims at creating and maintaining a high standard of professionalism in human resources management. This includes several training initiatives under progress such as the annual conference of Chief Civilian Personnel Officers, PACT, SMART and a set of comprehensive and structured e-learning and face-to-face certification programmes. The Department stated that the first PACT class, consisting of 10 human resources officers, graduated in 2008 and that PACT classes would continue on an annual basis. The SMART programme, completed with a group of 40 staff members in 2008, will train two classes of 40 participants in 2009.*

Recommendation 9

71. The Department of Field Support should establish a human resources strategy coherent with the authority delegated to the heads of missions to systematically address the shortage of qualified human resources staff.

72. *The Department of Field Support accepted recommendation 9, stating that the implementation was in progress. The Department commented that it has developed a structured and systematic human resources management training programme, including PACT, aiming at recruiting, developing, and retaining a cadre of qualified external candidates for human resources officer positions in the field. The Department explained that PACT trains all areas of human resources functions, roles and responsibilities; recruitment, selection and on-boarding; classification and compensation; policy issues; career development and performance management; use of United Nations information management systems within human resources management; and administration of benefits and entitlements.*

Recommendation 10

73. The Department of Management should: (a) formalize the delegation of human resources authorities to the Department of Field Support for personnel actions on behalf of the missions to enhance accountability and exercise necessary oversight; (b) expedite the development and implementation of the mandatory training and certification programme for the Department of Field Support officers who would be assuming human resources functions; and (c) conduct regular monitoring of the use

by the Department of Field Support of human resources authorities that have been delegated to it.

74. *The Department of Management accepted recommendation 10 and stated that: (a) efforts to establish a formal delegation of authority, within the context of the contractual reform, were under way; (b) there was a need for a training and certification programme but the development and delivery of training programmes would have financial implications for the Office of Human Resources Management; and (c) it was preparing a new, strengthened monitoring framework through the implementation of the human resources action plans and the human resources-related indicators, in such areas as recruitment, self-administration, performance management and staff development, within the Secretary-General's compacts to the Under-Secretaries-General.*

(*Signed*) Inga-Britt **Ahlenius**
Under-Secretary-General for Internal Oversight Services